

REQUEST FOR PROPOSALS



Energy-Efficient Retrofits of Wastewater Treatment Facilities

Alabama Department of Economic and Community Affairs

Energy Division

State Energy Program

Issue Date: July 25, 2014

Proposal Due Date: September 5, 2014

ENERGY-EFFICIENT RETROFITS OF WASTEWATER TREATMENT FACILITIES STATE ENERGY PROGRAM

Eligible Applicants

Eligible applicants are Wastewater Treatment Facilities. Facilities must agree to certain energy efficiency prerequisite improvements.

Proposals

Each proposal submitted must contain one (1) original and two (2) copies.

Submission Information

All proposals must be received no later than **5:00 p.m., September 5, 2014** at:

By Mail:

ADECA - Energy Division
P.O. Box 5690
Montgomery, AL 36103-5690

By Courier:

ADECA - Energy Division
Mailroom 404
401 Adams Avenue
Montgomery, AL 36104

Late Proposals

Proposals submitted after the due date will not be considered. The Energy Division reserves the right to reject any incomplete proposals without review.

Questions

Questions pertaining to this RFP may be submitted by email to Liz Cochran, Energy Program Manager, at liz.cochran@adeca.alabama.gov or fax to (334) 242-0552.

Please keep a complete copy of your proposal (including a copy of all completed and signed attachments) for your records.

This 'Request for Proposals' does not indicate acceptance or approval of any proposal in response to this request. No grant or contract payment can be made until a grant agreement has been fully executed. Therefore, no work shall begin on projects selected for funding until an executed grant agreement has been received. All grant awards are contingent upon state receipt of federal funds awarded.

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PART I – FUNDING OPPORTUNITY DESCRIPTION

A. Summary

The Alabama Department of Economic and Community Affairs (ADECA) - Energy Division manages the State Energy Program (SEP) for Alabama by authority of the U.S. Department of Energy (DOE). Each year the Energy Division develops and implements an energy efficiency plan that will reduce projected energy consumption in Alabama.

Projects under this Request for Proposals (RFP) will be funded, in whole or in part, with funds appropriated the SEP. The SEP is a formula grant used to promote the conservation of energy, to reduce the rate of growth of energy demand, and to reduce dependence on imported oil through the development and implementation of a comprehensive State Energy Program and the provision of Federal financial and technical assistance to States in support of such program. Accordingly, special consideration will be given to projects that promote and enhance the objectives of the SEP.

The Energy Division is soliciting proposals from Wastewater Treatment Facilities in Alabama for the purchase and installation of energy-efficient improvements. These improvements will only include the installation, modification, and replacement of: high-quality, energy-efficient motors; energy saving pumps; energy-efficient lighting; and Variable Frequency Drives (VFDs).

The proposer should clearly state how they will maximize energy savings and financial benefit through energy and water conservation measures at their facility with energy-efficient improvements.

The optimal payback period for each retrofit should be ten years or less.

B. State Energy Program Project Goals

The mission of the State Energy Program is to provide leadership to maximize the benefits of energy efficiency and renewable energy through communications and outreach activities, technology deployment, and accessing new partnerships and resources.

The goals established for the SEP are:

1. Increase energy efficiency to reduce energy costs and consumption for consumers, businesses and government.
2. Reduce reliance on imported energy.
3. Improve the reliability of electricity and fuel supply and the delivery of energy services.
4. Reduce the impacts of energy production and use on the environment.

Proposals submitted in response to this solicitation should, to the maximum extent feasible, incorporate the goals and objectives of the SEP. Each goal or objective area should be addressed and briefly discussed as it relates to proposed activities.

Proposals should be developed with thoughtful consideration being given to the applicable quarterly and annual reporting requirements contained in Part V.

PART II – AWARD INFORMATION

A. Estimated Funding

Approximately \$40,000 is available for the Energy Efficient Retrofits for Wastewater Treatment Facilities.

B. Award Size and Anticipated Number of Awards

The Energy Division expects to make four (4) \$10,000 awards.

C. Period of Performance

The Energy Division anticipates awarding grants to begin October 1, 2014 and to terminate no later than September 29, 2015, for an amount not to exceed the amount requested by the Offerer or that which is negotiated between the selected Offerer and the Energy Division.

D. Method of Payment

Payments shall be made on a cost-reimbursement basis over the course of the grant.

E. Prohibited Expenditures

State Energy Program Regulation 10 CFR Part 420 does not allow expenditures or matching funds for the following:

- For construction, such as construction of mass transit systems and exclusive bus lanes, or for construction or repair of buildings or structures;
- To purchase land, a building or structure or any interest therein;
- To subsidize fares for public transportation;
- To subsidize utility rate demonstrations or state tax credits for energy conservation or renewable energy measures; or
- To conduct or purchase equipment to conduct research, development or demonstration of energy efficiency or renewable energy techniques and technologies not commercially available.

F. Cost Matching

25% cost match is required for grants made with SEP funds.

PART III – PROPOSAL CONTENTS

Each proposal submitted must contain one (1) original and two (2) copies of the following documents:

A. Letter of Transmittal

The letter of transmittal must include the following:

1. A brief clear statement of the work to be performed
2. A statement assuring that the person signing the letter is authorized to bind the offer presented in the letter and accompanying proposal
3. A statement committing the applicant to provide a 25% cost share (match)
4. Proposed dollar amount to be provided as match
5. Match amount as a percentage of award amount
6. The total cost of the project (award amount + match amount)
7. Proposed cost match type – cash or services

B. Addendum A – Wastewater Treatment Facility Energy Improvement Application

Each applicant must submit a Wastewater Treatment Facility Energy Improvement Application (Addendum A). An Addendum A must be submitted for each wastewater system requesting retrofits.

Notes:

- All fields on each line item **must be completed** to be considered.
- The optimal payback period for each retrofit should be 10 years or less.

C. Attachments

These attachments can be found on our website at
<http://www.adeca.alabama.gov/about/Pages/Funding-Opportunities.aspx>

Attachment A - *Project Budget*

The Project Budget should outline the expenditures for the project. Please reference Attachment "B" for a description of budget categories. Proposal preparation costs are not reimbursable.

Attachment B - *Budget Narrative*

The Budget Narrative should include a detailed explanation of the expenditures outlined in your Project Budget.

Attachment C - State of Alabama – Disclosure Statement

Alabama Act 2001-955 requires the Vendor Disclosure Statement be completed and filed with all proposals, bids, contracts, and grant proposals to the State of Alabama in excess of \$5,000. Complete all lines as indicated. If an item does not apply, denote 'N/A' (not applicable). If you cannot include required information in the space provided, attach additional sheets as necessary. **The form must be signed, dated, and notarized.**

Attachment D - Offerer/Proposer Information

The applicant must submit an Offerer/Proposer Information Form to properly indicate organization and contact information of the individuals involved in the project. Information should be for the eligible party receiving the award, not for a third party assisting with the application process.

Attachment E - W-9 Request for Taxpayer Identification Number and Certification

A completed and signed W-9 Request for Taxpayer Identification Number and Certification Form must accompany the proposal. Only the Rev. August 2013 version will be accepted.

Attachment F – Certificate of Compliance with the Beason-Hammon Alabama Taxpayer and Citizen Protection Act –~~AND~~– E-Verify MOU

A form entitled CERTIFICATE OF COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (Act 2011-535 as amended by Act 2012-491) must be submitted in addition to the following.

The Beason-Hammon Alabama Taxpayer and Citizen Protection Act; Code of Alabama, Section 31-13, imposes conditions that apply to contracts, grants, or incentives by the state, any political subdivision of the state or any state-funded entity where the co-party is a "business entity or employer." This act will require selected proposers to submit a completed copy of the E-Verify Memorandum of Understanding (MOU) which is generated when the business entity or employer enrolls in that program bearing the number assigned to that MOU by Homeland Security at <https://verify.alabama.gov>.

The following clause will be included in the agreement with the selected proposer:

"By signing this contract, grant, or other agreement, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom."

All proposers must submit a Certificate of Compliance with Beason-Hammon Alabama Taxpayer and Citizen Protection Act form. Local governments and school systems are not required to submit an E-Verify MOU since these organizations have already submitted the required compliance information to the State. Proposers should contact the Energy Division if there are any questions regarding this requirement.

Attachment G - *Assurance of Compliance – Nondiscrimination in Federally Assisted Programs*

A declaration that the applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the applicant receives Federal assistance from the U.S. Department of Energy.

Attachment H - *Certifications*

This form certifies matters regarding lobbying, debarment, suspension, and other responsibility matters including a drug-free workplace.

Attachment I – *Standard Form - LLL Disclosure of Lobbying Activities*

If applicable, complete Standard Form – LLL (SF-LLL). Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit SF-LLL "Disclosure Form to Report Lobbying."

PART IV – PROPOSAL EVALUATION

Proposals shall be evaluated on the following criteria; therefore a concise discussion of each of these areas as they are applicable to the proposal is warranted. Poor performance implementing prior Energy Division grants may disqualify potential applicants from this solicitation.

Technical Criteria (35 points possible)

- How well the proposal combines the goals and objectives of the SEP, and proposes the realistic accomplishment and key components and anticipated benefits in terms of:
 - Energy cost savings
 - Increased energy efficiency
- Qualifications and experience of Offerer in proposed project and experience conducting similar programs or previous performance implementing prior grants with the Energy Division
- All required attachments are completed and supplied with the application

Cost Criteria (20 points possible)

- Budget for proposed project is appropriate and reasonable
- Cost breakdown for each proposed task on "Addendum A"
- Statement of 25% cost share requirement and how it will be accomplished included in the "Letter of Transmittal" and that 25% cost share is provided
- Degree of leveraging over 25%

Program Specific (45 points possible)

- Proposed plan to complete the project in an expeditious manner with a detailed description of deliverables and with realistic time estimates for each work task on "Addendum A"
- Clearly defined, quantifiable and measurable task elements
- Cost, savings, and payback are included in retrofit description. Optimal payback period of wastewater treatment facility retrofits is 10 years or less on "Addendum A"
- Payback calculations are given for each retrofit and are quantifiable

SEP Proposal Review Sheet

Category: Energy-Efficient Retrofits of Wastewater Treatment Facilities

Reviewer:

Proposer:

Date:

Requested Budget: \$

I. Technical Criteria (35 possible points)

Score Possible

Extent of benefits relating to SEP goals, how well the proposal combines the goals and objectives, and proposes the realistic accomplishment and key components <i>SEP Goals: Energy cost savings, increased energy efficiency, reduction of reliance on imported energy, improving the reliability of electricity and fuel supply and the delivery of energy services, and reducing the impacts of energy production and use on the environment.</i>		<u>15</u>
Qualifications and experience of Offerer in proposed project and experience conducting similar programs or previous performance handling prior grants with the Energy Division		<u>15</u>
All required attachments are supplied		<u>5</u>

II. Cost Criteria (20 possible points)

Budget for proposed project is appropriate and reasonable		<u>5</u>
Cost breakdown for each proposed deliverable shown on "Addendum A"		<u>5</u>
Statement of 25% cost share requirement and how it will be accomplished included in the "Letter of Transmittal" and that 25% is provided (required)		<u>5</u>
Degree of leveraging for proposed project above the 25% required		<u>5</u>

III. Program Specific (45 possible points)

Proposed plan to complete the project in an expeditious manner. Detailed description of deliverables and time lines for task completion during grant period (October 1, 2014– September 29, 2015)		<u>15</u>
Details of each eligible retrofit to be accomplished are supplied and are quantifiable, clearly defined, and measurable		<u>10</u>
Cost, savings, and payback included in retrofit description. Optimal payback period of wastewater treatment facility retrofits is 10 years or less on "Addendum A"		<u>10</u>
Payback calculations are given for each retrofit and are quantifiable		<u>10</u>
Total Points:		<u>100</u>

NOTES:

PART V – AWARD ADMINISTRATION INFORMATION FOR SELECTED PROPOSALS

A. Monthly Invoices

The Energy Division will provide additional information on invoice requirements for the selected proposal. In addition to standard management and financial reporting requirements, the following information and supporting documentation will be required in monthly invoices as appropriate and applicable to the proposed project:

Expenditures

- Expenditures for project activities
- Expenditures for administration
- Leveraged funds

B. Quarterly Progress Reports

The Energy Division will provide additional information on reporting requirements for selected proposals. In addition to standard management and financial reporting requirements, the following information will be required in quarterly program status reports as appropriate and applicable to the proposed project:

Building Retrofits

- Wastewater treatment facility retrofitted, by sector
- Square footage of wastewater treatment facility retrofitted, by sector

Government, School, Institutional Procurement

- Number of units purchased, by type (e.g. motors, pumps, lights, Variable Frequency Drives)

Jobs

- Hours worked through SEP Funds

C. Final Report

The Energy Division will provide additional guidance on reporting requirements. In addition to standard management and financial reporting requirements, the following information will be required in a final report as appropriate and applicable to the proposed project:

Energy Cost Savings

- Dollars Saved

Energy Savings

- Annual reduction in natural gas consumption (mmcf)
- Annual reduction in electricity consumption (MWh)
- Annual reduction in electricity demand (MW)
- Annual reduction in fuel oil consumption (gallons)
- Annual reduction in propane consumption (gallons)
- Annual reduction in gasoline and diesel fuel consumption (gallons)

Emissions Reductions

- Amount of green house gases reduced (CO2 equivalents)
- Amount of criteria air pollutants reduced (tons)

Water Reductions

- Amount of water conserved (gallons)

D. Other Requirements

Selected proposals must submit all documentation required by the following to the Energy Division **prior to installation.**

NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)

All Projects receiving financial assistance from DOE will be reviewed under the National Environmental Policy Act (NEPA) of 1969 – 42 U.S.C. Section 4321 et seq. Most projects under this solicitation will be categorically excluded from environmental assessment. The Energy Division will notify you in the event your project will require a full environmental assessment. Proposals should include a discussion of anticipated environmental impacts as described online at https://www.eere-pmc.energy.gov/NEPA_Act.aspx.

NATIONAL HISTORIC PRESERVATION ACT (NHPA)

All Projects receiving financial assistance under this solicitation must obtain written approval from the Alabama Historical Commission (AHC). Please visit the Alabama Historical Commission website at the following link: <http://preserveala.org/106program.aspx> for more information on NHPA Section 106 requirements. If a facility is over 50 years of age and you have any questions regarding the possible exemption of planned retrofits, please contact the ADECA Energy Division.

ALABAMA BUILDING COMMISSION

The Alabama Building Commission promulgates and enforces a code of minimum building standards for state building and construction, school houses, hotels, and motion picture theaters. Projects receiving financial assistance under this solicitation are responsible for obtaining all necessary approvals required by the Alabama Building Commission. Applicants should consider any additional costs associated with these approvals when submitting their application.

ENERGY STAR PORTFOLIO MANAGER

Implement the agency-wide use of ENERGY STAR Portfolio Manager. Portfolio Manager is an interactive energy management tool that allows you to track and assess energy and water consumption across your entire portfolio of buildings in a secure online environment. Additional information regarding ENERGY STAR Portfolio Manager is available at <http://www.energystar.gov/buildings/tools-and-resources/energy-star-score-wastewater-treatment-plants>.

E. Procurement

All projects receiving financial assistance must follow proper procedures as stated in 10 CFR Part 600 and its applicable subparts or appendices, and the Alabama Competitive Bid and Public Works Laws. In addition, all contractors must utilize best commercial practices in obtaining subcontractors.

PART VI – OTHER INFORMATION

A. Right to Reject

The Energy Division reserves the right to reject any and all proposals submitted and to request additional information from all Offerers. The Energy Division reserves the right to award a grant on an "all or none" basis or to award a separate grant or no grant for each work element. Any grant award will be made to the organization which, in the opinion of the Energy Division, is determined to be the best qualified and whose proposal best meets the objectives of the Energy Division. The Energy Division reserves the right to negotiate with any Offerer(s). The Energy Division reserves the right to reallocate funding for subject areas as deemed necessary. All grant awards are subject to state receipt of federal funds awarded.

B. Proprietary Information

The information contained in the proposals will be public information unless a specific request is made to keep specific information confidential. If a proposal contains any information that the Offerer does not wish to have disclosed to the public or be used by the Energy Division for any purpose other than evaluation of the offer, each sheet of such information must be clearly marked "proprietary." This information will be kept confidential, subject to applicable state and federal laws. Proposals and supporting materials submitted shall become the property of the Energy Division.

PART VII – CHECKLIST & FINAL NOTES

CHECKLIST:

Item	Requirements
<input type="checkbox"/> Letter of Transmittal	Must contain required statements
<input type="checkbox"/> Addendum A – Wastewater Treatment Facility Energy Improvement Application	Must contain required information
<input type="checkbox"/> Attachments	
<input type="checkbox"/> Attachment A – Project Budget	Categorize award funds and cost share
<input type="checkbox"/> Attachment B – Budget Narrative	Detail costs shown in Attachment A
<input type="checkbox"/> Attachment C – State of Alabama Disclosure Statement	Sign, date, and notarize
<input type="checkbox"/> Attachment D – Offerer/Proposer Information	Applicant's information
<input type="checkbox"/> Attachment E – W-9	Sign and date
<input type="checkbox"/> Attachment F – Beason-Hammon Certificate of Compliance	Sign, date, and notarize
<input type="checkbox"/> Attachment F – E-Verify Memorandum of Understanding	Copy (if applicable)
<input type="checkbox"/> Attachment G – Assurance of Compliance	Sign and date
<input type="checkbox"/> Attachment H – Certifications	Sign and date
<input type="checkbox"/> Attachment I – Disclosure of Lobbying Activities	Sign and date (if applicable)

FINAL NOTES:

- ✓ Your proposal/application submitted consists of one (1) original and two (2) copies of all documents.
- ✓ All proposals must be received no later than **5:00 p.m., September 5, 2014.**
- ✓ All information should be for the eligible party requesting to receive the award, not for a third party assisting with the application process.